

2008 - 2014 CAPITAL PLANNING

Information/Training Sessions

February 2007

CAPITAL PLANNING ADVISORY BOARD (CPAB)

- KRS Chapter 7A
- 1990 General Assembly
- 16 members - appointments by each branch
- Comprehensive statewide capital improvements plan

TIMETABLE

- **April 15*** - Agency plans due to CPAB
- **July** - CPAB hearing on plans
- **October 1** - Plan amendments due to CPAB
- **November 1*** - CPAB statewide plan due to branch heads

* Statutory

STATEWIDE PLANS

- **Project recommendations**
 - General Fund cash or bonds
 - Other fund sources
- **Policy recommendations**
 - Proposed legislation
 - Other
- **Cabinet & agency project lists**
(prioritized for first biennium)

STATEWIDE PLANS

Inputs

- Cabinet / agency plans
- Testimony / presentations to CPAB
- COT and CPE recommendations
(info technology, postsec educ)
- CPAB member information / issues
- Other

CHANGES FROM 2006-2012

■ **Thresholds Raised**

- \$600,000 for construction & IT (from \$400,000)
- \$200,000 for equipment (from \$100,000)

■ **Other**

- Reporting of agency administered and/or occupied property – changes only
- Status of recent projects - use quarterly reports to CPBOC

SUBMISSION LEVEL

Single “Agency” Plan

- Independent agencies
- Boards & commissions
- Universities & KCTCS
- Judicial Branch & Legislative Branch
- Selected cabinets
(Econ Dev, Personnel, Transportation)
- Various other agencies

SUBMISSION LEVEL

Multi-Agency Cabinet Plan

- Commerce
- Education
- Environmental and Public Protection
- Finance and Administration
- Health and Family Services
- Justice and Public Safety

Cabinet & Agency Priorities
Cabinet Plan Overview

AGENCY PLANS

- **Background**

- Understand agency
- Context to review needs & proposals

- **Plan**

- Capital-related needs
- How agency proposes to address

- **Ancillary Records**

BACKGROUND

- Agency Mission and Programs
- Agency Facilities Management
- Capital-Related Reports
- Agency Physical Plant
- Status of Recently Completed / Ongoing Projects

Agency Mission and Programs

(Form SYP-B1)

- Content
 - Statutory basis
 - Major programs and functions
 - Service delivery (facilities, technology)
- Other
 - One page maximum
 - Base on size & complexity of agency

Agency Facilities Management

(Form SYP-B2)

- Content
 - Organizational unit and location
 - Responsibilities
 - Personnel
 - Contracts / outsourcing
- Other
 - One page maximum
 - Base on size & complexity of agency

Capital-Related Reports

(Form SYP-B3)

■ Criteria

- Completed since last plan (4/2005)
- Currently underway
- Planned in 2006-08

■ Content

- Title
- Purpose
- Who Prepared the Report
- Completion Date
- Approval
- Status of Providing Report to CPAB
- Related Projects in 2008-2014 Plan

Agency Physical Plant

(Forms SYP-B4a-f)

■ Changes in

- State-owned property administered by the agency (Form SYP-B4a)
- Other state-owned property occupied by the agency (Form SYP-B4c)
- Non-state-owned property occupied / leased by the agency (Form SYP-B4d)
- Non-state-owned space leased by another agency, occupied by the agency (Form SYP-B4e)

Agency Physical Plant

(continued)

- Vacant square footage in state-owned facilities (Form SYP-B4b)
- State-owned aircraft (Form SYP-B4f)

Status of Recently Completed/Ongoing Projects

- Form SYP-B5 - pre-populated
 - Construction and information technology (completed since 4/2005)
 - Maintenance pools (state funded, 2004-06 & 2006-08)
 - Grant/loan programs (2006-08)
- Quarterly Status Reports to CPBOC
 - Other authorized construction & IT

PLAN

- Overview
- Proposed Projects
- Space Needs
- Space Reductions

Overview

- Narrative (Form SYP-P1)
 - Capital related needs & issues - how agency plans to address them
 - Current priorities - process & factors
 - Changes from 2006-2012 plan
 - Actions affecting approach to needs

Overview (continued)

- Summary Reports

- Financial Summary for Proposed Projects (Form SYP-P1a)
- (Listing of) Proposed Projects Involving the General Fund or Road Fund (Form SYP-P1b)
- (Listing of) Proposed Projects NOT Involving the General Fund or Road Fund (Form SYP-P1c)

Proposed Projects

(Criteria)

- Capital construction - ***\$600,000*** or more
- Equipment - ***\$200,000*** or more
- IT system - ***\$600,000*** or more
- State-administered grant / loan programs
- Court facilities - Annual use allowance of \$200,000 or more

2008-10, 2010-12, 2012-14

Proposed Projects

(Form SYP-P2)

- Project Title
- Biennium
- Agency Priority / Cabinet Priority
- Agency Bond Priority
- Category
- Location
- Item Number
- Appropriation Unit
- Add'l Funding for Currently Authorized Project?
- Brief Description / Justification

Proposed Projects

(Form SYP-P2 - continued)

- Project Budget
 - Fund Sources & Cost Elements
- Impact on Agency Operating Budget
 - Figures & Narrative
- Specific (based on category)
- Additional Description / Justification
- Previous Plans
- Previous Budget Requests
- Previous Budget Authorizations

Proposed Projects

(Budget - Fund Sources)

- General Fund (cash or bonds)
- Restricted Funds
- Federal Funds
- Road Fund
- Agency Bonds
- **Other (private funds - cash)**
- **Other (long-term financing) - *must explain***
- **Other (local bonds, court projects only)**

Space Needs

(Form SYP-P3)

- Location
- Type of Need
- Why Needed
- Type of Space
- Square Footage
- Biennium
- Impact on Existing Space
- Add'l Explanation/Description

Other than projects submitted on Form SYP-P2.

Space Reductions

(Form SYP-P4)

- Location
- Square Footage
- Type of Space
- Why the Space is to be Eliminated
- Biennium
- Add'l Explanation/Description

ANCILLARY RECORDS

- Agency Bond Priorities*
(Form SYP-A2)
- Off-Budget Funds**
(Form SYP-A3)
- Projects in Plans of Multiple Agencies
(Form SYP-A4)

* Postsecondary institutions

** Eastern KY Exposition Center, KY Center for the Arts, KY Artisans Center at Berea, Northern KY Convention Center

2008-2014 Capital Planning System

- Web-based
- All sections of the plan
- Pre-populated data – ***review & update***
 - Agency Mission & Programs
 - Agency Facilities Management
 - Proposed Projects
- Validations
- All electronic except Transmittal Notification

Access to the CP System

	<u>Agency Contact</u>	<u>Agency User</u>	<u>Cabinet Contact</u>
Enter/Edit Checklist	✓		
Enter Data	✓	✓	
View/Print Reports	✓	✓	
Run Form Validations	✓	✓	
Enter Agency Priorities	✓		
Enter Cabinet Priorities			✓
Run Priority Validations	✓		✓
Submit Plan	✓		✓

Preparing the Agency Plan

- Access the Capital Planning System
www.lrc.ky.gov/statcomm/CPAB/homepage.htm
- Login with e-mail address & password
- Respond to checklist
- Complete forms - Enter agency priorities
- Run validations
- Submit electronically to CPAB
- Mail signed Transmittal Notification to CPAB

Plan Versions

- Version 0 - pre-populated data (read only)
- Version 1 - April 15 submission

- Version 2 - July 2007 CPAB meeting
- Version 3 - as of October 1, 2007
- Version 4 - after October 1, 2007

*Each version becomes read-only when submitted
or on the designated cut-off date.*

CPAB Office

- Staff

- Pat Ingram
- Debbie Rodgers
- Shawn Bowen
- Nancy Osborne

- Room 34, Capitol Annex

- cpab@lrc.ky.gov

- cpabtech@lrc.ky.gov

- <http://www.lrc.ky.gov/statcomm/CPAB/homepage.htm>

Other Attachments

Current CPAB Membership

Capital Plan Submission Levels

Quarterly Capital Projects Status Reports
(sample page & explanation of terms)